

**UNITED STATES BANKRUPTCY COURT
DISTRICT OF CONNECTICUT**

Instructions for Filing Application for Payment of Unclaimed Funds

Unclaimed funds are held by the court for an individual or entity who is entitled to the money but who has failed to claim ownership of it. The United States Courts, as custodians of such funds, have established policies and procedures for holding, safeguarding, and accounting for the funds.

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I. Searching Unclaimed Funds.

To search unclaimed funds, use the *Unclaimed Funds Locator* at <https://ucf.uscourts.gov>. Select CTB from the dropdown list and enter the applicable search criteria. If you need access to a computer to perform the search, you may use the court’s public computer terminal(s) located in each clerk's office in Hartford, New Haven and Bridgeport. Additionally, you may contact the Clerk’s office at 860-240-3675 to verify unclaimed funds balances.

II. Filing Requirements for Payment of Unclaimed Funds

a. Application for Payment of Unclaimed Funds

Any party who seeks the payment of unclaimed funds must file an Application for Payment of Unclaimed Funds using [Form B1340 \(Connecticut-Specific Form\)](#) and serve a copy of the application on the United States Attorney for the District of Connecticut. For purposes of this procedure, the “Applicant” is the party filing the application, and the “Claimant” is the party entitled to the unclaimed funds. The Applicant and Claimant may be the same.

NOTE: If a case is closed, a motion to reopen is not required if the sole purpose of the reopening is to file an Application for Payment of Unclaimed Funds.

NOTE: If a case is open, a filer with representation may not file an Application, *pro se*. Attorneys must comply with electronic filing policy.

b. Supporting Documentation

1. Payee Information

In conjunction with the Application for Payment of Unclaimed Funds, the payee (name to whom funds will be disbursed) must provide to the court an original, signed IRS tax form. Any payee requesting payment via Electronic Funds Transfer (EFT), must submit an AO 213P with complete banking information

A. Domestic Claimant

A Claimant who is a U.S. person¹ must submit either the [AO 213P](#) (Payee Information and TIN Certification), [AO 213](#) (Vendor Information/Certification), or W-9 Request for Taxpayer Identification Number and Certification form (accessible by searching on the Internal Revenue Service (IRS) website at: www.irs.gov).

NOTE: If a Claimant wants payment via Electronic Funds Transfer (EFT), then Forms AO 213 or AO 213P must be used.

B. Foreign Claimant

A foreign Claimant must use the applicable W-8 Certification form (accessible by searching on the IRS website at: www.irs.gov) accompanied by Form [AO-215](#), Request to Determine Foreign Vendor Tax Payments.

If you have problems completing a form, please contact the Clerk’s Office at 860-240-3675.

¹ “U.S. person” includes: an individual who is a U.S. citizen or U.S. resident alien; a partnership, corporation, company or association created or organized in the U.S. or under the laws of the U.S.; an estate (other than a foreign estate); or a domestic trust (as defined in 26 C.F.R. 301.7701-7).

2. Additional Supporting Documentation

Requirements for additional supporting documentation vary depending on the type of Claimant and whether the Claimant is represented. Please read the instructions below to identify what must accompany your Application for Payment of Unclaimed Funds.

Sufficient documentation must be provided to the Court to establish the Claimant's identity and entitlement to the funds. Proof of identity must be provided in unredacted form with a current address. If there are joint Claimants, then supporting documentation must be provided for both Claimants.

A. Owner of Record

The Owner of Record is the original payee entitled to the funds appearing on the records of the court. If the Claimant is the Owner of Record, the following additional documentation is required:

- Owner of Record – Individual
 - Application must have the original signature of the Owner of Record
 - Proof of Identity (*e.g.*, unredacted copy of driver's license or other state-issued identification card that includes current address, or U.S. passport).
 - An original notarized statement of the Proof of identity of the Owner of Record
- Owner of Record - Business or Government Entity
 - Application must be signed by an authorized representative for and on behalf of the business or government entity;
 - A notarized statement of the signing representative's authority; and
 - Proof of identity of the signing representative (*e.g.*, unredacted copy of driver's license or other state-issued identification card that includes current address, or U.S. passport).

NOTE: If the Owner of Record's name has changed since the funds have been deposited with the court, then proof of the name change must be provided.

B. Successor Claimant

A successor Claimant may be entitled to the unclaimed funds as a result of assignment, purchase, merger, acquisition, succession or by other means. If the Claimant is a successor to the original Owner of Record, the following documentation is required:

- Successor Claimant - Individual
 - Proof of identity of the successor (*e.g.*, unredacted copy of driver's license or other state-issued identification card that includes current address, or U.S. passport);
 - A notarized signature of the successor Claimant (incorporated in application); and
 - Documentation sufficient to establish chain of ownership or the transfer of claim from the original Owner of Record.

- Successor Claimant – Business or Government Entity
 - Application must be signed by an authorized representative for and on behalf of the successor entity;
 - A notarized statement of the signing representative’s authority;
 - A notarized power of attorney signed by an authorized representative of the successor entity;
 - Proof of identity of the signing representative (*e.g.*, unredacted copy of driver's license or other state-issued identification card that includes current address, or U.S. passport); and
 - Documentation sufficient to establish chain of ownership or the transfer of claim from the original Owner of Record.
- Deceased Claimant's Estate
 - Proof of identity of the estate (*e.g.*, unredacted copy of driver's license or other state-issued identification card that includes current address, or U.S. passport);
 - Certified copies of probate documents or other documents authorizing the representative to act on behalf of the decedent or decedent’s estate in accordance with applicable state law (*e.g.*, small estate affidavit); and
 - Documentation sufficient to establish the deceased Claimant’s identity and entitlement to the funds.

C. Claimant Representative

If the Applicant is Claimant’s attorney or other representative, the following documentation is required:

- Proof of identity of the representative (*e.g.*, unredacted copy of driver's license or other state-issued identification card that includes current address, or U.S. passport);
- A notarized power of attorney signed by the Claimant (or Claimant’s authorized representative) on whose behalf the representative is acting; and
- Documentation sufficient to establish the Claimant’s identity and entitlement to the funds, as set forth above.

c. Proposed Order

A proposed order is not required.

d. Filing the Application

NOTE: If a case is closed, a motion to reopen is not required if the sole purpose of the reopening is to file an Application for Payment of Unclaimed Funds.

NOTE: If a case is open, a filer with representation may not file an Application, *pro se*. Attorneys must comply with electronic filing policy.

1. Filing Conventionally (paper)

If not filed electronically, the application, supporting documentation, certificate of service, and tax form must be mailed to:

United States Bankruptcy Court
450 Main St., 7th Floor
Hartford, CT 06103

2. Filing Electronically through CM/ECF

To file electronically, docket the Application using event “*Payment Unclaimed Funds*” under the “Motions/Applications” menu.

IMPORTANT FOR ELECTRONIC FILERS: Upload the Application only. Do not upload supporting documents with the Application. All supporting documents must be uploaded as a single pdf using the event “*Unclaimed Funds Supporting Documentation*” under the “Miscellaneous” menu.

III. Post-Filing Process/Objections

Any party who wishes to object to the Applicant’s request in the application shall file an objection with the Court on or before the deadline set in the “Notice of Deadline to Object to the Application for Payment of Unclaimed Funds.” The objection should be served upon the Applicant and other appropriate parties.

If no objection is filed with the Court on or before the deadline set in the “Notice of Deadline to Object to the Application for Payment of Unclaimed Funds,” the application and accompanying documents may be considered by the Court without a hearing.

IV. Links

[Application for Payment of Unclaimed Funds, B1340](#) - Directors Form 1340 (Connecticut Specific Form)

[Unclaimed Funds Locator](http://ucf.uscourts.gov/) (<http://ucf.uscourts.gov/>)

[AO-213](#), (Aug 2022 version) Vendor Information/Certification

[AO-213P](#), (Aug 2022 version) Payee Information and TIN Certification

[W-9](#), Request for Taxpayer Identification Number and Certification

[W-8](#), (accessible by searching on the IRS website at: <https://www.irs.gov>)

[AO 215](#), Request to Determine Foreign Vendor Tax Payments